



**PATENT APPLICATION**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of

Docket No: Q67362

Naoki KIMURA

Appln. No.: 10/067,337

Confirmation No.: 4604

Group Art Unit: 2874

Filed: February 7, 2002

Examiner: Sung H. PAK

For: OPTICAL SEMICONDUCTOR MODULE EQUIPPED WITH A LIGHT MONITOR  
FOR MONITORING SIGNAL LIGHT EMITTED FROM A LIGHT EMITTING  
ELEMENT

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. §§ 1.97 and 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

1. Japanese Unexamined Patent Application Publication No. S61-123190, published June 11, 1986.
2. Japanese Unexamined Patent Application Publication No. H02-042782, published February 13, 1990.
3. Japanese Unexamined Patent Application Publication No. H11-133255, published May 21, 1999.

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4. Japanese Unexamined Patent Application Publication No. H11-068705, published March 9, 1999.
5. Japanese Unexamined Patent Application Publication No. 2002-223027, published August 9, 2002.
6. Japanese Unexamined Patent Application Publication No. 2001-177181, published June 29, 2001
7. Japanese Unexamined Patent Application Publication No. 2000-208858, published July 28, 2000.
8. Japanese Unexamined Patent Application Publication No. 2001-185753, published July 6, 2001.
9. Japanese Unexamined Patent Application Publication No. 2002-050826, published February 15, 2002.
10. Japanese Unexamined Patent Application Publication No. H03-504288, published September 19, 1991
11. Japanese Unexamined Patent Application Publication No. S53-065090, published June 10, 1978.

One copy of each of the listed documents is submitted herewith.

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date; (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after

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filing a request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

In compliance with the concise explanation requirement under 37 C.F.R. § 1.98(a)(3) for foreign language documents, Applicant encloses here with a copy of a corresponding Japanese Office Action dated May 25, 2004 and an English translation of the pertinent portions thereof which cites such documents and indicates the degree of relevance found by the foreign office.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any overpayments to said Deposit Account. A duplicate copy of this paper is attached.

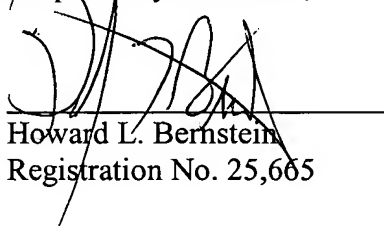
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WASHINGTON OFFICE

**23373**

CUSTOMER NUMBER

Respectfully submitted,



Howard L. Bernstein  
Registration No. 25,665

Date: July 2, 2004

Substitute for Form 1449 A &amp; B/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

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of

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**Complete if Known**

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|------------------------|------------------|
| Application Number     | 10/067,337       |
| Confirmation Number    | 4604             |
| Filing Date            | February 7, 2002 |
| First Named Inventor   | Naoki KIMURA     |
| Art Unit               | 2874             |
| Examiner Name          | Sung H. PAK      |
| Attorney Docket Number | Q67362           |

**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number |                                      | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document |
|--------------------|-----------------------|-----------------|--------------------------------------|--------------------------------|---|
|                    |                       | Number          | Kind Code <sup>2</sup><br>(if known) |                                |   |
|                    |                       | US              |                                      |                                |   |
|                    |                       | US              |                                      |                                |   |
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**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document   |                     |                                      | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Translation <sup>6</sup> |
|--------------------|-----------------------|---------------------------|---------------------|--------------------------------------|--------------------------------|---|--------------------------|
|                    |                       | Country Code <sup>3</sup> | Number <sup>4</sup> | Kind Code <sup>5</sup><br>(if known) |                                |   |                          |
|                    |                       | JP                        | 61-123190           | A                                    | 06-11-1986                     |   | No                       |
|                    |                       | JP                        | 2-42782             | A                                    | 02-13-1990                     |   | No                       |
|                    |                       | JP                        | 53-65090            |                                      | 06-10-1978                     |   | No                       |
|                    |                       | JP                        | 11-133255           | A                                    | 05-21-1999                     |   | No                       |
|                    |                       | JP                        | 11-68705            | A                                    | 03-09-1999                     |   | No                       |
|                    |                       | JP                        | 2002-223027         | A                                    | 08-09-2002                     |   | No                       |
|                    |                       | JP                        | 2001-177181         | A                                    | 06-29-2001                     |   | No                       |
|                    |                       | JP                        | 2000-208858         | A                                    | 07-28-2000                     |   | No                       |
|                    |                       | JP                        | 2001-185753         | A                                    | 07-06-2001                     |   | No                       |
|                    |                       | JP                        | 2002-50826          | A                                    | 02-15-2002                     |   | No                       |
|                    |                       | JP                        | 3-504288            | A                                    | 09-19-1991                     |   | No                       |

**NON PATENT LITERATURE DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published. | Translation <sup>6</sup> |
|--------------------|-----------------------|--|--------------------------|
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Examiner Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP 901.04 or in the comment box of this document. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to indicate here if English language Translation is attached.